



DEPARTMENT OF CORPORATIONS

JOB OPPORTUNITY

ARNOLD SCHWARZENEGGER, Governor

Preston DuFauchoir, California Corporations Commissioner

Sunne Wright McPeak, Agency Secretary

Release Date: July 14, 2006

CLASSIFICATION: CORPORATIONS EXAMINER (Will consider Auditor I applications)

FINAL FILING DATE: July 31, 2006 or UNTIL FILLED

SALARY: \$3746-5229 per month
(If Auditor I, the salary is \$3529.00 per month.)

POSITION LOCATION: Securities Regulation Division
320 W. 4th Street, Los Angeles

DUTIES AND RESPONSIBILITIES: Under the general direction of the Corporations Examiner IV (Supervisor), the Corporations Examiner/Auditor I performs technical and administrative duties to assure compliance with provisions of the Corporate Securities Law of 1968 and Code of Regulations. Typical duties include conducting field examination of the Division's licensees, investment advisers and broker-dealer offices. Examination includes review and analysis of financial statements, determining the fiscal positions of licensees, performing operations compliance and internal auditor procedures, and reviewing compliance with state regulations. Review licensee annual report filing, determining the accuracy of the financial statement and determining if the licensee meets the required minimum net worth requirement set by State Law. Prepares comprehensive regulatory reports and detailed memorandums. Conducts enforcement or "for cause" examinations which target specific area of problems and investigate complaints by investors filed against licensees. Gathers evidence for possible enforcement actions. This position requires extensive traveling.

DESIRABLE QUALIFICATIONS.

- ◆ Knowledge of generally acceptable accounting principles.
- ◆ Knowledge of the rules and regulations administered by the Securities Regulation Division.
- ◆ Knowledge of personal computers, familiarity with Microsoft Word and Excel and other computer programs.
- ◆ Dependability and the ability to adjust to shifting priorities and meeting deadlines.
- ◆ Ability to communicate well both orally and in writing.
- ◆ Willingness to accept additional responsibilities.
- ◆ Ability to work independently, with good interpersonal skills and a willingness to travel.

WHO MAY APPLY – EMPLOYEES CURRENTLY AT THE AUDITOR I or CORPORATIONS EXAMINER LEVEL, THOSE WITHIN TRANSFER RANGE OR HAVE LIST ELIGIBILITY WHO ARE REACHABLE (IN THE TOP THREE RANKS), AND EMPLOYEES WITH SURPLUS OR SROA STATUS AT THE CORPORATIONS EXAMINER LEVEL ARE ENCOURAGED TO APPLY. For further technical information regarding the position, please contact Maurice Kamhi at (213) 576-7587 or CALNET 8-649-7587. **PLEASE SEND A COMPLETED APPLICATION TO THE PERSON AND ADDRESS PROVIDED BELOW.** (Please include your social security number for eligibility verification and indicate **RPA # 05-SRD0020** under the job title).

SUBMIT APPLICATION AND RESUME TO:

Department of Corporations
Attention: HR - Kiley Hanchen #05-SRD0020
1515 K Street, Suite 200
Sacramento, CA 95814
(916) 327-8914 or CALNET 8-467-8914

05-SRD0020-JR

AN EQUAL OPPORTUNITY EMPLOYER - EQUAL OPPORTUNITY TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.